

## Transaction Controls

### Purpose

This document describes transaction controls and provides guidance on their use.

### Function of Transaction Controls

Transaction Controls regulate transactions that can be processed to a project/task/award by specifying which expenditure categories (resource groups) or expenditure types (resources) are chargeable or nonchargeable.

### Establishing Transaction Controls

Transaction controls can be established on a project or task and can be exclusive or inclusive. Transaction controls can be established for an expenditure category (resource group) or expenditure type (resource). If established for an expenditure category, the controls apply to all expenditure types within the category. If established for an expenditure type, the controls apply just to the specific expenditure type.

### Hierarchy of Transaction Controls: Project vs. Task

1. Project level transaction controls define transaction restrictions for all tasks that are associated with the project.
2. Task level transaction controls define transaction restrictions for that specific task and any subtasks that may be associated.
3. If both project and task level transaction controls exist on a task, both will be valid for the task.

However, if task level transaction controls negate the project level controls, the task level transaction controls will take precedence. For example, project level transaction controls exclude supplies but task level transaction controls only allow supplies to be charged. In this instance, the task level transaction controls would take precedence and only supplies could be charged.

### Types of Transaction Controls: Inclusive vs. Exclusive

There are two types of transaction controls that define which expenditure will be included or excluded when transactions are processed.

#### Exclusive Transaction Controls

Exclusive transaction controls allow all transactions to be processed except (excluding) those transactions in expenditure categories (resource groups) and expenditure types (resources) listed in the transaction control section. Exclusive transaction controls define all of the "unallowed" expenditure categories and expenditure types.

#### Inclusive Transaction Controls

Inclusive transaction controls allow only transactions to be processed that are listed (included) in the transaction control section as Chargeable and with the box Limit to Transaction Controls checked. Inclusive transaction controls define all of the "allowed" expenditure categories and expenditure types.

**Note:** When inclusive transaction controls are used, the resource of F&A Costs or Agency Fees must be included for appropriate indirect costs to be applied.

### Applying Transaction Controls - Functional Scenarios

If you enter the transaction controls for a Resource Group (expenditure category) then transactions for all resources (expenditure types) within that group will be included or excluded.

If you enter the transaction Controls for a Resource (expenditure type) then only transaction for that Resource will be included or excluded.

The following table provides functional scenarios on the use of transaction controls:

Level of Control (Project or Task)	Type of Control (Exclusive or Inclusive)	Example of Functionality
Project level control on Supplies	Exclusive	All expenditures types can be charged to all Tasks except expenditures in the Resource Group of Supplies. Therefore, SUP lab class, SUP office supplies, etc., cannot be charged.
Task level control on Equipment and F&A Costs	Inclusive	Only expenditure types in the resource group of Equipment can be charged to this specific Task. Therefore, SUP lab class, SUP office supplies, etc., cannot be charged to this Task but may be charged to other Tasks listed under the Project.

### Change History

- February 17, 2004 - New document.